

ORIGINAL



0000110328

BEFORE THE ARIZONA CORPORATION COMMISSION

RECEIVED

Arizona Corporation Commission

DOCKETED

2010 APR 22 A 10: 56

APR 22 2010

AZ CORP COMMISSION  
DOCKET CONTROL

DOCKETED BY

*ms*

COMMISSIONERS

KRISTIN K. MAYES, Chairman  
GARY PIERCE  
PAUL NEWMAN  
SANDRA D. KENNEDY  
BOB STUMP

IN THE MATTER OF:

UBS SECURITIES LLC AND UBS  
FINANCIAL SERVICES, INC.,

RESPONDENT.

DOCKET NO. S-2073<sup>2</sup>A-10-0095

**PROCEDURAL ORDER**  
**GRANTING ADMISSION**  
**PRO HAC VICE**

**BY THE COMMISSION:**

On April 14, 2010, pursuant to Arizona Supreme Court Rule 38(a), Jesse B. Simpson, an attorney with Lewis and Roca LLP filed with the Arizona Corporation Commission ("Commission") a Motion to Associate Counsel Pro Hac Vice for Therese L. Surprenant of UBS Financial Services, Inc. in the above-captioned matter ("Motion"), on behalf of Respondent, UBS Securities LLC and UBS Financial Services, Inc. The Motion lists Mr. Simpson as the designated member of the Arizona State Bar with whom communications may be made and upon whom papers should be served. Attached to the Motion is a copy of the Application for Appearance Pro Hac Vice filed with the State Bar of Arizona for Ms. Surprenant; a copy of her certificate of good standing from the jurisdiction in which she has been admitted to practice law; and a copy of the Notice of Receipt of Complete Application from the State Bar of Arizona.

On April 20, 2010, the Commission's Securities Division filed its response to the Motion indicating that it has no objection to the admission of Ms. Surprenant as counsel *pro hac vice* in this matter.

In the discretion of the Commission, Therese L. Surprenant should be permitted to appear and participate in the above-captioned matter on behalf of Respondent, UBS Securities LLC and UBS Financial Services, Inc.

IT IS THEREFORE ORDERED that Therese L. Surprenant shall be admitted *pro hac vice* in the above-captioned matter.

IT IS FURTHER ORDERED that the address for service of papers and other communications for Ms. Surprenant shall be:


Therese L. Surprenant  
UBS FINANCIAL SERVICES, INC.  
98 San Jacinto Blvd., Suite 600  
Austin, TX 78701

IT IS FURTHER ORDERED that the address for service of papers and other communications for the Arizona-licensed attorney shall be:

Jesse B. Simpson  
LEWIS AND ROCA LLP  
40 North Central Avenue, 19<sup>th</sup> Floor  
Phoenix, AZ 85007-4429

IT IS FURTHER ORDERED that withdrawal of representation must be made in compliance with A.A.C. R14-3-104(E) and Rule 1.16 of the Rules of Professional Conduct (under Rule 42 of the Rules of the Arizona Supreme Court). Representation before the Commission includes the obligation to appear at all hearings and procedural conferences, as well as all Open Meetings for which the matter is scheduled for discussion, unless counsel has previously been granted permission to withdraw by the Administrative Law Judge.

DATED this 22<sup>nd</sup> day of April, 2010.


  
LYN FARMER  
CHIEF ADMINISTRATIVE LAW JUDGE

Copies of the foregoing mailed/delivered this 22<sup>nd</sup> day of April, 2010 to:

Therese L. Surprenant  
UBS FINANCIAL SERVICES, INC.  
98 San Jacinto Blvd., Suite 600  
Austin, TX 78701  
*Counsel Pro Hac Vice* for Respondent

Matt Neubert, Director  
Securities Division  
ARIZONA CORPORATION COMMISSION  
1300 West Washington Street  
Phoenix, AZ 85007

Jesse B. Simpson  
LEWIS AND ROCA LLP  
40 North Central Avenue, 19<sup>th</sup> Floor  
Phoenix, AZ 85007-4429  
Attorneys for Respondent

By:   
Debra Broyles  
Secretary to Lyn Farmer